

FINANCIAL STATEMENT

Form PFS
Revised 02/21/97

Filed Pursuant to Chapter 572
Texas Government Code

For Calendar Year Ending December 31, 1996

CHECK ONE:

- ☐ Candidate for (Office): _____
- ☒ Elected official (Office): STATE SENATOR
- ☐ Appointed official (Agency): _____
- ☐ Executive head (Agency): _____
- ☐ Party Chair¹ (Party): _____

OFFICE USE ONLY	
Account #	<u>20990</u>
RECEIVED	
JUL 02 1997	
Texas Ethics Commission	
Receipt #	_____
HD / PM	Amount
<u>01/1/97</u>	_____
PROCESSED JUL 03 1997	
Date Imaged	_____

INSTRUCTIONS: This form must be either handwritten in ink or typewritten. Attach pages of this size if additional space is needed on any response and identify each response by the part to which it relates. Whenever you are required to identify an individual or business entity, indicate the corresponding city and state.

INDIVIDUAL REQUIRED TO FILE: ROYCE BARRY WEST

Address: [REDACTED] (Full Name)

(City) (State) (Zip Code) (Telephone Number-Optional)

LIST ALL SOURCES OF OCCUPATIONAL INCOME:

Name and Address of Employer: ROBINSON WEST & GOODEN, P.C. 400 S. ZANG BLVD. #600
DALLAS, TEXAS
(City) (State)

Position Held: PARTNER

Name and Address of Employer: STATE OF TEXAS
AUSTIN, TEXAS
(City) (State)

Position Held: SENATOR

If Self-employed:
Name and Address of Business: ROBINSON WEST & GOODEN, P.C. 400 S. ZANG BLVD. #600
DALLAS, TEXAS
(City) (State)

Nature of Occupation: _____

¹ Party Chair means the state chairperson of any political party receiving more than two percent of the vote for governor in the most recent general election.

This financial statement must include the financial activity of the person required to file the statement and the financial activity of his spouse and dependent children over which he had actual control for the preceding calendar year (this means the financial activities in property of the registrant's spouse and dependent children where the registrant exercises actual control over such activities. Op. Tex. Att'y Gen. No. H-269 (1974)). A person's natural child, adopted child, or stepchild is his or her "dependent child" if the person provides over 50 percent of the child's support during the calendar year. [Texas Government Code §§ 572.023(a), 572.006]

SPOUSE: N/A
(Full Name)

Address: _____

(City) (State)

LIST ALL SOURCES OF OCCUPATIONAL INCOME:

Name and Address of Employer: _____

(City) (State)

Position Held: _____

If Self-employed:
Name and Address of Business: _____

(City) (State)

Nature of Occupation: _____

DEPENDENT CHILD 1: _____
(Full Name)

Address: _____

(City) (State)

LIST ALL SOURCES OF OCCUPATIONAL INCOME:

Name and Address of Employer: _____

(City) (State)

If Self-employed:
Nature of Occupation: _____

DEPENDENT CHILD 2: _____
(Full Name)

Address: _____

(City) (State)

LIST ALL SOURCES OF OCCUPATIONAL INCOME:

Name and Address of Employer: _____

(City) (State)

If Self-employed:
Nature of Occupation: _____

DEPENDENT CHILD 3: _____
(Full Name)

Address: _____

(City) (State)

LIST ALL SOURCES OF OCCUPATIONAL INCOME:

Name and Address of Employer: _____

(City) (State)

If Self-employed:

Nature of Occupation: _____

PLEASE IDENTIFY FOR EACH OF THE FOLLOWING PARTS WHETHER THE INFORMATION PERTAINS TO THE INDIVIDUAL FILER, SPOUSE, DEPENDENT CHILD 1, DEPENDENT CHILD 2, etc. UNLESS OTHERWISE NOTED, INDICATE CATEGORY OF MONETARY VALUE AS FOLLOWS: CATEGORY A--less than \$5,000; CATEGORY B--\$5,000 to \$9,999.99; CATEGORY C--\$10,000 to \$24,999.99; CATEGORY D-- \$25,000 or more.

Part I. Retainers

Identify any person or other organization from which you or a business in which you have a substantial interest² have received a fee as a retainer for future services in case of need (as opposed to a fee for services on a matter specified at the time of contracting for the fee). Report only retainer fees in which the amount of work performed does not equal or exceed the value of the retainer during the reporting period. Also include retainer fees for which no services have been performed. Op. Tex. Att'y Gen. No. H-269 (1974). Specify if the fee was received by you or by a business in which you have a substantial interest. Indicate the appropriate category of value for each retainer fee. [Texas Government Code § 572.023(b)(1)]

<u>Source of Fee</u>	<u>Received by</u>	<u>Category</u>
----------------------	--------------------	-----------------

N/A		
-----	--	--

² An individual has a "substantial interest" in a business entity if the individual:

- (1) has controlling interest in the business entity;
- (2) owns more than 10 percent of the voting interest in the business entity;
- (3) owns more than \$25,000 of the fair market value of the business entity;
- (4) has a direct or indirect participating interest by shares, stocks, or otherwise, regardless of whether voting rights are included, in more than 10 percent of the profits, proceeds, or capital gains of the business entity;
- (5) is a member of the board of directors or other governing board of the business entity;
- (6) serves as an elected officer of the business entity; or
- (7) is an employee of the business entity. [Texas Government Code § 572.005]

PLEASE IDENTIFY FOR EACH OF THE FOLLOWING PARTS WHETHER THE INFORMATION PERTAINS TO THE INDIVIDUAL FILER, SPOUSE, DEPENDENT CHILD 1, DEPENDENT CHILD 2, etc. UNLESS OTHERWISE NOTED, INDICATE CATEGORY OF MONETARY VALUE AS FOLLOWS: CATEGORY A--less than \$5,000; CATEGORY B--\$5,000 to \$9,999.99; CATEGORY C--\$10,000 to \$24,999.99; CATEGORY D-- \$25,000 or more.

Part II. Stock

Identify by name and indicate the appropriate category of the number of shares of stock of any business entity held or acquired. Report the category of number of shares as follows: Category A--less than 100, Category B--100 to 499, Category C--500 to 999, Category D--1,000 to 4,999, Category E--5,000 to 9,999, Category F--10,000 or more. If the stock is sold, check whether there was a net gain or net loss realized from the sale and indicate the category of the amount of gain or loss realized. [Texas Government Code § 572.023(b)(2)]

Name of Business Entity	Held/acquired by	Category of Shares	If sold: Net Gain or Net Loss and Category		
PSI	ROYCE WEST	C			
AMERICAN FUND	ROYCE WEST	C			
IDS	ROYCE WEST				
STRATEGY FUND	ROYCE WEST	B			
SECTOR FUND	ROYCE WEST	B			
GRUPO FINANCIERO BANCOMER	ROYCE WEST	E			

Part III. Bonds, Notes, Commercial Paper

List all bonds, notes, and other commercial paper³ held or acquired. If the item was sold, check whether there was a net gain or net loss realized from the sale and indicate the category of the amount of gain or loss realized. [Texas Government Code § 572.023(b)(3)]

Description	Held/acquired by	If sold: Net Gain or Net Loss and Category		
1 CD-IRA BANK OF AMERICA	ROYCE WEST			
1 MONEY MARKETS CERT. NATIONSBANK	ROYCE WEST			

³ Commercial paper is any other negotiable paper, such as certificates of deposits (CDs), money market certificates, treasury bills, bills of exchange, etc.

PART II. STOCK (CONTINUED)

<u>NAME OF BUSINESS ENTITY</u>	<u>HELD/ACQUIRED BY</u>	<u>CATEGORY OF SHARES</u>	<u>NET GAIN</u>	<u>NET GAIN</u>
CIFRA S.A. DE CU ADR	ROYCE WEST	D		
INTERACTIVE NETWORK	ROYCE WEST	D		
MAX TOR, INC.	ROYCE WEST	D		
*NETWORK SYSTEMS purchase by Storage Tech	ROYCE WEST			
NONA MORELLIS, II, INC.	ROYCE WEST	D		
STONE GRILL INTL.	ROYCE WEST	B		
TELEFOROS DE MEX NOW ADL	ROYCE WEST	B		
TIPHOOK PLC	ROYCE WEST	D		
TYCO TOYS, INC.	ROYCE WEST	D		
TEXAS MAN POWER AGY REV. RFDG.	ROYCE WEST	F		
STORAGE TECH	ROYCE WEST	A		
SOUTHWEST AIRLINES	ROYCE WEST	D	B	
INTEL	ROYCE WEST	D		A
**DEFINITION LIMITED	ROYCE WEST	B		

*STORAGE TECH, purchase Network System Corp. shares.

**STONE GRILL purchase Future Comm. reverse split of shares;
STONE GRILL name changed to Definition Limited.

PLEASE IDENTIFY FOR EACH OF THE FOLLOWING PARTS WHETHER THE INFORMATION PERTAINS TO THE INDIVIDUAL FILER, SPOUSE, DEPENDENT CHILD 1, DEPENDENT CHILD 2, etc.

Part IV. Interest, Dividends, Royalties, Rents

Identify each source and category of amount of income derived from interest, dividends, royalties, and rents that is in excess of \$500.00 per source. Indicate the type of income as being either interest, dividends, royalties, or rents. NOTE: FOR THIS PART ONLY, INDICATE CATEGORY OF VALUE AS FOLLOWS: CATEGORY A—\$500.01 to \$4,999.99; CATEGORY B—\$5,000 to \$9,999.99; CATEGORY C—\$10,000 to \$24,999.99; CATEGORY D—\$25,000 or more. [Texas Government § 572.023(b)(4)]

<u>Source</u>	<u>Type</u>	<u>Received by</u>	<u>Category</u>
RENTAL (HOUSES)	RENT	ROYCE WEST	C
INTEREST (CDS)	INTEREST	ROYCE WEST	A
DIVIDEND	DIVIDEND	ROYCE WEST	A

Part V. Personal Notes and Lease Agreements

Identify each guarantor of a loan and each person or financial institution to whom a personal note or notes or lease agreement for a total financial liability in excess of \$1,000 existed at any time during the calendar year. NOTE: FOR THIS PART ONLY, INDICATE CATEGORY OF VALUE AS FOLLOWS: CATEGORY A—\$1,000.01 to \$4,999.99; CATEGORY B—\$5,000.00 to \$9,999.99; CATEGORY C—\$10,000 to \$24,999.99; CATEGORY D—\$25,000 or more. [Texas Government Code § 572.023(b)(5)]

<u>Source of Personal Note or Lease Agreement</u>	<u>Money Owed by</u>	<u>Guarantor</u>	<u>Category</u>
NATIONSBANK (PERS.)	ROYCE WEST		B
NATIONSBANK (LEASE)	ROYCE WEST		D
CITICORP. MORTGAGE	ROYCE WEST		D
FORD MOTOR (LEASE)	ROYCE WEST		D
BARCLAY MORTGAGE	ROYCE WEST		D
CITICORP BANK	ROYCE WEST		A
NORWEST BANK	ROYCE WEST		A
PRINCIPAL MORTGAGE	ROYCE WEST		D

PLEASE IDENTIFY FOR EACH OF THE FOLLOWING PARTS WHETHER THE INFORMATION PERTAINS TO THE INDIVIDUAL FILER, SPOUSE, DEPENDENT CHILD 1, DEPENDENT CHILD 2, etc. UNLESS OTHERWISE NOTED, INDICATE CATEGORY OF MONETARY VALUE AS FOLLOWS: CATEGORY A--less than \$5000; CATEGORY B--\$5,000.00 to \$9,999.99; CATEGORY C--\$10,000 to \$24,999.99; CATEGORY D--\$25,000 or more.

Part VI. Beneficial Interests

Describe all beneficial interests⁴ which were held or acquired in real property (including your homestead) and in business entities. If the interest in the property or business entity was sold, check whether there was a net gain or net loss realized from the sale and indicate the category of the amount of gain or loss realized. [Texas Government Code § 572.023(b)(6)]

REAL PROPERTY HELD OR ACQUIRED:

A description of real property is required to be reported by number of lots or number of acres, as applicable, in each county and the name of each county, and give the names of all persons retaining an interest in the property, except for an interest which is a severed mineral interest.

Description of Beneficial
Interest in Real Property,
Number of Lots or Acres
by County, and Names of
all Persons Retaining an
Interest in the Property

Held/acquired by

If sold: Net Gain or Net Loss and Category

FIVE (5) LOTS IN
DALLAS COUNTY

ROYCE WEST

PERSONS RETAINING INTEREST

GEORGE GRICE HEIRS
BARCLAY MORTGAGE
BANKERS LIFE MORTGAGE
CITICORP MORTGAGE

BUSINESS ENTITIES HELD OR ACQUIRED:

"Business entity" means a sole proprietorship, partnership, firm, corporation, holding company, joint stock company, receivership, trust, or any other entity recognized by law through which business for profit is conducted.

Description of
Beneficial Interest

Held/acquired by

If sold: Net Gain or Net Loss and Category

ROBINSON WEST & GOODEN

ROYCE WEST

⁴ A beneficial interest may be either legal or equitable title (such as when a creditor takes the legal title as security for repayment of a debt). A trust item should be reported under Part VIII.

PLEASE IDENTIFY FOR EACH OF THE FOLLOWING PARTS WHETHER THE INFORMATION PERTAINS TO THE INDIVIDUAL FILER, SPOUSE, DEPENDENT CHILD 1, DEPENDENT CHILD 2, etc. UNLESS OTHERWISE NOTED, INDICATE CATEGORY OF MONETARY VALUE AS FOLLOWS: CATEGORY A--less than \$5,000; CATEGORY B--\$5,000 to \$9,999.99; CATEGORY C--\$10,000 to \$24,999.99; CATEGORY D--\$25,000 or more.

Part VII. Gifts

Identify any person or other organization which has given a gift of anything of value in excess of \$250 in value to you, your spouse, or your dependent children. Describe each gift. Do not include gifts received from persons related within the second degree of consanguinity or affinity³, political contributions that were reported as required by law, or expenditures required to be reported by a person required to be registered under Chapter 305, Government Code. [Texas Government Code § 572.023(b)(7)]

Source of Gift

Brief Description of Gift

Received by

N/A

Part VIII. Trust Income

Identify the source of all income received as beneficiary of a trust and indicate the appropriate category of the amount received. Identify each asset from which income in excess of \$500 was received by the beneficiary, if the identity is known. [Texas Government Code § 572.023(b)(8)]

Source (Trust Name)

Beneficiary

Category

Assets, if known

N/A

³ Examples of relatives within the second degree of consanguinity are as follows:

- (1) First degree: parent, child;
- (2) Second degree: brother, sister, grandparent, grandchild;

These include relatives by blood, half-blood, and legal adoption.

Examples of relatives within the second degree of affinity are as follows:

- (1) First degree: spouse, spouse's parent, son-in-law, daughter-in law;
- (2) Second degree: spouse's brother, spouse's sister, brother's spouse, sister's spouse, spouse's grandparent.

Persons related by affinity (marriage) include spouses of relatives by consanguinity, and, if married, the spouse and the spouse's relatives by consanguinity. These examples are not all-inclusive.

PLEASE IDENTIFY FOR EACH OF THE FOLLOWING PARTS WHETHER THE INFORMATION PERTAINS TO THE INDIVIDUAL FILER, SPOUSE, DEPENDENT CHILD 1, DEPENDENT CHILD 2, etc. UNLESS OTHERWISE NOTED, INDICATE CATEGORY OF MONETARY VALUE AS FOLLOWS: CATEGORY A--less than \$5,000; CATEGORY B--\$5,000 to \$9,999.99; CATEGORY C-- \$10,000 to \$24,999.99; CATEGORY D--\$25,000 or more.

Part IX. Corporate and Partnership Assets and Liabilities

Identify by description and category of amount all assets and liabilities of any corporation or partnership in which 50 percent or more of the outstanding ownership was held, acquired, or sold. [Texas Government Code § 572.023(b)(9)]

<u>Corporation or Partnership</u>	<u>Brief Description of Assets and Liabilities</u>	<u>Stock Held, Acquired, or Sold by</u>	<u>Category</u>
ROBINSON WEST & GOODEN, P.C.	FURNISHINGS & COMPUTERS	ROYCE WEST MALCOLM ROBINSON JULIA L.S. GOODEN	

Part X. Boards and Executive Positions

List all boards of directors of which the person is a member and executive positions that the person holds in corporations, firms, partnerships, or proprietorships, stating the name of each organization and the position held. [Texas Government Code § 572.023(b)(10)]

<u>Name of Organization</u>	<u>Position Held</u>	<u>Position Held by</u>
ROBINSON WEST & GOODEN	PARTNER	ROYCE WEST
DALLAS COUNTY DENTAL HEALTH	PRESIDENT	ROYCE WEST
WEST DALLAS COMM. CENTERS	BOARD OF DIRECTORS	ROYCE WEST

PLEASE IDENTIFY FOR EACH OF THE FOLLOWING PARTS WHETHER THE INFORMATION PERTAINS TO THE INDIVIDUAL FILER, SPOUSE, DEPENDENT CHILD 1, DEPENDENT CHILD 2, etc.

Part XI. Conference Transportation, Meals, Lodging

Identify any person providing transportation, meals, or lodging expenses permitted under Section 36.07(b), Penal Code⁶, and the amount of those expenses, other than expenditures required to be reported under Chapter 305, Government Code (the lobby law). You are not required to list political contributions reported under Title 15, Texas Election Code. [Texas Government Code § 572.023(b)(11)]

Name of Person

Amount of Expense

Provided to

N/A

⁶ Section 36.07(b) of the Penal Code provides that the general prohibition on the acceptance of honoraria does not prohibit a public servant from accepting necessary expenses for meals, transportation, or lodging provided in connection with a conference or similar event in which the member renders services, such as addressing an audience or engaging in a seminar, to the extent that those services are more than merely perfunctory.

You must report any expenses for meals, transportation, or lodging permitted under section 36.07(b) unless a registered lobbyist is required to report those expenses on a lobby activities report.

Part XII. Interests with a Lobbyist in Partnerships, Joint Ventures, or other Business Associations

Identify any partnership, joint venture, or other business association, excluding a publicly held corporation, in which both the filer and a person registered under Chapter 305, Government Code, have an interest. [Texas Government Code § 572.023(b)(12)]

Name of Organization

N/A

INDICATE CATEGORY OF MONETARY VALUE AS FOLLOWS: CATEGORY A--less than \$5,000; CATEGORY B--\$5,000 to \$9,999.99; CATEGORY C-- \$10,000 to \$24,999.99; CATEGORY D--\$25,000 or more.

XIII. Fees Received for Services Rendered to a Lobbyist or a Lobbyist's Employer

Report the name of each person or entity required to be registered under Chapter 305, Government Code, or that you actually know directly compensates or reimburses a person required to be registered under Chapter 305, Government Code, from which you received a fee for services you rendered to or on behalf of such a person or entity and the category of the amount of each fee. [Texas Government Code § 572.024]

Name of the Person
the Services were Rendered to

Category of the
Amount of each Fee

N/A

INDICATE CATEGORY OF MONETARY VALUE AS FOLLOWS: CATEGORY A--less than \$5,000; CATEGORY B--\$5,000 to \$9,999.99; CATEGORY C-- \$10,000 to \$24,999.99; CATEGORY D--\$25,000 or more.

XIV. Representation by Legislator before an Executive State Agency

This section only applies to members of the legislature. For each person that you represented for compensation before an executive state agency report:

- (1) the name of the agency;
- (2) the person represented by the member; and
- (3) the category of the amount of compensation you received for that representation.
[Texas Government Code § 572.025]

Name of Agency

Person Represented

Category

N/A

Part XV. Benefits

List benefits derived from functions in honor or appreciation of the recipient by source, including name, address, and amount. ⁷

Source of Benefit and Address

Amount

N/A

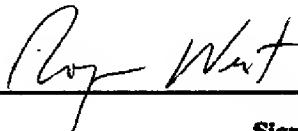
⁷ A benefit is anything reasonably regarded as pecuniary gain or pecuniary advantage, including benefit to any other person in whose welfare the beneficiary has a direct and substantial interest. Section 36.01(5), Penal Code.

Section 36.10 provides that the gift prohibitions set out in Sections 36.08 (Gift to Public Servant) and 36.09 (Offering Gift to Public Servant) of the Penal Code do not apply to a benefit to a public servant required to file a statement under Chapter 572, Texas Government Code or a report under Title 15, Election Code, that is derived from a function in honor or appreciation of the recipient if the benefit and the source of any benefit in excess of \$50 is reported in the statement and the benefit is used solely to defray the expenses that accrue in the performance of duties or activities in connection with the office which are nonreimbursable by the state or political subdivision.

A benefit reported as a contribution by the officeholder on a sworn statement under Title 15 of the Election Code need not be reported again here.

VERIFICATION

I do solemnly swear that the foregoing Financial Statement, filed herewith, is in all things true and correct, and fully shows all information required to be reported by me pursuant to Texas Government Code, Chapter 572.



Signature of Filer

Sworn to and subscribed before me by ROYCE WEST, this the
30th day of June, 1997, to certify which, witness my hand and seal of
office.

Signature of officer administering oath¹

BILLIE R. WISEMAN

Print name of officer administering oath



NOTARY

Title of officer administering oath

¹ The following are some of the persons that may administer oaths, affidavits, or affirmations made within this state:

- a. a judge, clerk, or commissioner of any court of record;
- b. a notary public;
- c. a justice of the peace; or
- d. any member of any board or commission created by the laws of this state, in matters pertaining to the duties thereof.